



Attorney's Docket No. 38190/233565

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: David G. Beshore  
Appl. No.: 09/848,519  
Filed: May 4, 2001  
For: METHOD AND COMPUTER PROGRAM  
PRODUCT FOR ASSESSING A PROCESS  
OF AN ORGANIZATION  
Group Art Unit: To be assigned  
Examiner: To be assigned

June 1, 2001

Commissioner for Patents  
Washington, DC 20231

**INFORMATION DISCLOSURE STATEMENT  
CITATION UNDER 37 C.F.R. § 1.97**

Sir:

Attached is a list of documents on form PTO-1449 together with a copy of each identified document. It is requested that the Examiner consider these documents and officially make them of record in accordance with the provisions of 37 C.F.R. § 1.97 and Section 609 of the MPEP. By submitting the listed documents, Applicant in no way makes any admission as to the prior art status of the listed documents, but is instead submitting the listed documents for the sake of full disclosure.

Respectfully submitted,

Andrew T. Spence  
Registration No. 45,699

**Customer No. 000826**  
**ALSTON & BIRD LLP**  
Bank of America Plaza  
101 South Tryon Street, Suite 4000  
Charlotte, NC 28280-4000  
Tel Charlotte Office (704) 444-1000  
Fax Charlotte Office (704) 444-1111

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Lorna Morehead



Substitute for form 1449A/PTO		<b>Complete if Known</b>			
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>		Application Number	09/848,519		
		Filing Date	05/04/01		
		First Named Inventor	David G. Beshore		
		Group Art Unit	To be assigned		
		Examiner Name	To be assigned		
Sheet	1	of	2	Attorney Docket Number	38190/233565

U. S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant Of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	1	5,737,494		Guinta et al.	04-07-1998	
	2	5,893,098		Peters et al.	04-06-1999	
	3	5,978,648		George et al.	11-02-1999	
	4	5,987,149		Poor	11-16-1999	
	5	6,092,060		Guinta et al.	07-18-2000	
	6	6,151,581		Kraftson et al.	11-21-2000	
	7	6,157,915		Bhaskaran et al.	12-05-2000	
	8	6,161,101		Guinta et al.	12-12-2000	

FOREIGN PATENT DOCUMENTS								
Examiner Initials	Cite No.	<u>Foreign Patent Document</u>			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code (if known) <sup>5</sup>				

Examiner Signature		Date Considered	
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number.  
<sup>2</sup> See attached Kinds of U.S. Patent Documents.  
<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).  
<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.  
<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.  
<sup>6</sup> Applicant is to place an "X" here if English language Translation is attached.

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		Group Art Unit	To be assigned
		Examiner Name	To be assigned
Sheet 2 of 2	Attorney Docket Number	38190/233565	

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
	9	MARK C. PAULK, BILL CURTIS, MARY BETH CHRISSIS & CHARLES V. WEBER, <i>Capability Maturity Model, Version 1.1</i> , 10 IEEE SOFTWARE 18-27 (July 1993), reprinted as, <i>The Capability Maturity Model for Software</i> , available at <http://www.sei.cmu.edu/cmm/papers/cmm.pdf> (visited 2001), 26 total pages	
	10	MARK C. PAULK, <i>Effective CMM-Based Process Improvement</i> , PROCEEDINGS OF THE 6TH INT'L CONF. ON SOFTWARE QUALITY, OTTAWA, CAN. 226-237 (Oct. 28-31, 1996), available at <http://www.sei.cmu.edu/cmm/papers/effective-spi.pdf> (visited 2001), 12 total pages.	
	11	SOFTWARE ENGINEERING INSTITUTE (SEI), A SYSTEMS ENGINEERING CAPABILITY MATURITY MODEL, VERSION 1.1 (1995), available at <http://www.sei.cmu.edu/pub/documents/95.reports/pdf/mm003.95.pdf>, 70 selected pages.	
	12	ELECTRONIC INDUSTRIES ALLIANCE (EIA), SYSTEMS ENGINEERING CAPABILITY MODEL APPRAISAL METHOD, available at (last modified Feb. 26, 2001) <http://www.geia.org/sstc/G47/731dwld.htm>, 161 total pages.	
	13	DONNA K. DUNAWAY & STEVE MASTERS, CMM <sup>SM</sup> -BASED APPRAISAL FOR INTERNAL PROCESS IMPROVEMENT (CBA IPI): METHOD DESCRIPTION (1996), available at <http://www.sei.cmu.edu/pub/documents/96.reports/pdf/tr007.96.pdf>, 57 total pages.	

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